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PTO/SB/21 (02-04)

TRANSMITTAL FORM (to be used for all correspondence after initial filing)	Application Number	10/603,573
	Filing Date	June 24, 2003
	First Named Inventor	Tai, Yu-Chong
	Art Unit	1753
	Examiner Name	Unassigned
Total Number of Pages in This Submission	Attorney Docket Number	020859-002410US

ENCLOSURES (Check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	Return Postcard
<input type="checkbox"/> Information Disclosure Statement		Power of Attorney (CalTech)
		Statement Under 37 CFR 3.73(b) w/attached copy of assignment (Caltech)
		Power of Attorney (City of Hope)
		Statement Under 37 CFR 3.73(b) w/attached copy of assignment (City of Hope)
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Townsend and Townsend and Crew LLP Daniel Mao Reg. No. 51,995
Signature	<i>Daniel Mao</i>
Date	July 13, 2004

CERTIFICATE OF TRANSMISSION/MAILING	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.	
Typed or printed name	Eleanor J. Taylor
Signature	<i>Eleanor J. Taylor</i>
Date	July 13, 2004

**POWER OF ATTORNEY
and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	10/603,573
Filing Date	June 24, 2003
First Named Inventor	Tai, Yu-Chong
Title	MICROFLUIDIC DEVICES AND METHODS WITH ELECTROCHEMICALLY ACTUATED SAMPLE PROCESSING
Art Unit	1753
Examiner Name	Unassigned
Attorney Docket Number	020859-002410US

I hereby appoint:

☒ Practitioners associated with the Customer Number

20350

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

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Fax

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of 50% entire interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Adam Cochran, Intellectual Property Counsel, California Institute of Technology
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Signature	
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Date	21 June 2004	Telephone	626-395-4567
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NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.

**STATEMENT UNDER 37 CFR 3.73(b)**Applicant/Patent Owner: Yu-Chong Tai, Jun Xie, Qing He, and Terry Dwight LeeApplication No./Patent No.: 10/603,573Filed/Issue Date: June 24, 2003Entitled: MICROFLUIDIC DEVICES AND METHODS WITH ELECTROCHEMICALLY ACTUATED SAMPLE PROCESSINGCalifornia Institute of Technologya Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
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2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

21 June 2004

Date

626-395-4567

Telephone number

Adam Cochran

Typed or printed name

Signature

Intellectual Property Counsel
California Institute of Technology

Title



COPY

Attorney Docket No.: 020859-002410US
Client Reference No.: 3715

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Yu-Chong Tai of 3191 East California Blvd., Pasadena, CA 91107; Jun Xie of 1036 East Del Mar Blvd., Apt. 101, Pasadena, CA 91106; and Qing He of 1001 East Villa St., Apt. #8, Pasadena, CA 91106; CA 91773, hereinafter referred to as "Assignors," are the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: MICROFLUIDIC DEVICES AND METHODS WITH
 ELECTROCHEMICALLY ACTUATED SAMPLE
 PROCESSING

Filing Date: June 24, 2003

Application No.: 10/603,573; and


WHEREAS, California Institute of Technology, a university, located at 1200 E. California Blvd., Pasadena, California 91125, hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignors, Assignors have assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignors had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignors further agree that they will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignors have signed their names on the dates indicated.

Dated: 1/22/04


Yu-Chong Tai

Dated: 01/21/04


Jun Xie

Dated: 01/21/04


Qing He



POWER OF ATTORNEY and CORRESPONDENCE ADDRESS INDICATION FORM	Application Number	10/603,573
	Filing Date	June 24, 2003
	First Named Inventor	Tai, Yu-Chong
	Title	Microfluidic Devices And Methods With Electrochemically Actuated Sample Processing
	Art Unit	1753
	Examiner Name	Unassigned
	Attorney Docket Number	020859-002410US

I hereby appoint:

☒ Practitioners associated with the Customer Number 20350

OR

☐ Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:

☒ The address associated with the above-mentioned Customer Number:

OR

☐ The address associated with Customer Number:

OR

<input type="checkbox"/> Firm or Individual Name					
Address					
Address					
City		State		ZIP	
Country					
Telephone		Fax			

I am the:

☐ Applicant/Inventor.

☒ Assignee of record of 50% interest. See 37 CFR 3.71.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).

SIGNATURE of Applicant or Assignee of Record

Name	Larry A. Couture, Ph.D., Sr. Vice President for Technology Development, City of Hope				
Signature					
Date	6/30/04		Telephone	626/256-8728	

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.

☐ *Total of _____ forms are submitted.



PTO/SB/96 (08-03)

Attorney Docket No. 020859-002410US

STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Yu-Chong Tai, Jun Xie, Qing He, and Terry Dwight LeeApplication No./Patent No.: 10/603,573Filed/Issue Date: June 24, 2003Entitled: MICROFLUIDIC DEVICES AND METHODS WITH ELECTROCHEMICALLY ACTUATED SAMPLE PROCESSINGCity of Hope, a Corporation

(Name of Assignee)

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☐ the assignee of the entire right, title, and interest; or
2. ☒ an assignee of less than the entire right, title and interest.
The extent (by, percentage) of its ownership interest is 50%

in the patent application/patent identified above by virtue of either:

- A. ☒ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: _____ To: _____

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Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____

The document was recorded in the United States Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.8]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.

6/30/04
Date626/256-8726
Telephone numberLarry A. Couture, Ph.D.

Typed or printed name

[Signature]
Signature
Sr. Vice President for Technology Development
City of Hope
Title

COPY

Attorney Docket No.: 020859-002410US
Client Reference No.: 3715

ASSIGNMENT OF PATENT APPLICATION

JOINT

WHEREAS, Terry Dwight Lee of 641 Cottonwood Lane, San Dimas, CA 91773, hereinafter referred to as "Assignor," is one of the inventors of the invention described and set forth in the below-identified application for United States Letters Patent:

Title of Invention: MICROFLUIDIC DEVICES AND METHODS WITH
ELECTROCHEMICALLY ACTUATED SAMPLE
PROCESSING

Filing Date: June 24, 2003

Application No.: 10/603,573; and

WHEREAS, CITY OF HOPE, a non-profit public benefit corporation of the State of California, with a place of business at 1500 East Duarte Road, Duarte, California 91010-0269 hereinafter referred to as "ASSIGNEE," is desirous of acquiring an interest in the invention and application and in any U.S. Letters Patent and Registrations which may be granted on the same;

For good and valuable consideration, receipt of which is hereby acknowledged by Assignor, Assignor has assigned, and by these presents do assign to Assignee all right, title and interest in and to the invention and application and to all foreign counterparts (including patent, utility model and industrial designs), and in and to any Letters Patent and Registrations which may hereafter be granted on the same in the United States and all countries throughout the world, and to claim the priority from the application as provided by the Paris Convention. The right, title and interest is to be held and enjoyed by Assignee and Assignee's successors and assigns as fully and exclusively as it would have been held and enjoyed by Assignor had this Assignment not been made, for the full term of any Letters Patent and Registrations which may be granted thereon, or of any division, renewal, continuation in whole or in part, substitution, conversion, reissue, prolongation or extension thereof.

Assignor further agrees that he will, without charge to Assignee, but at Assignee's expense, (a) cooperate with Assignee in the prosecution of U.S. Patent applications and foreign counterparts on the invention and any improvements, (b) execute, verify, acknowledge and deliver all such further papers, including patent applications and instruments of transfer, and (c) perform such other acts as Assignee lawfully may request to obtain or maintain Letters Patent and Registrations for the invention and improvements in any and all countries, and to vest title thereto in Assignee, or Assignee's successors and assigns.

IN TESTIMONY WHEREOF, Assignor has signed his name on the date indicated.

Dated: 26 Jan 04

60107239 v1


Terry Dwight Lee